

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



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Re Application for:

Peter S. Banka, et al.

Application No.: 09/870,959

Filed: May 30, 2001

For: METHOD AND APPARATUS FOR  
PROVIDING NETWORK  
DEPENDENT APPLICATION  
SERVICES

Examiner: Not yet assigned

Art Group: 2152

Technology Center 2100

CERTIFICATE OF MAILING

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Date of Deposit: October 16, 2002

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Signature: Heather Adamson Date: 10/18/02

COMMISSIONER FOR PATENTS  
WASHINGTON, DC 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. § 1.97(g), the submission of this Information Disclosure Statement (IDS) is not to be construed as a representation that a search has been made, and, pursuant to 37 C.F.R. § 1.97(h), the submission of this IDS is not to be construed as an admission that the information cited in this IDS is material to patentability.

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This IDS is being submitted under one or more of the following sections of 37

C.F.R. § 1.97 (as indicated by an "X" to the left of the appropriate paragraph(s)):

  X   37 C.F.R. § 1.97(b). Filed:

- (1) Within three months of a National Application other than a CPA;
- (2) Within three months of entry into National Stage;
- (3) Before mailing of a first Office Action on the merits; or
- (4) Before mailing of a first Office Action after filing an RCE.

       37 C.F.R. § 1.97(c). Filed before the mailing of a Final Office Action, Notice of Allowance, or an action that otherwise closes prosecution.

       And, ONE of the following:

       (1) One statement from 37 C.F.R. § 1.97(e);

       (e)(1) The person signing below certifies that each item of information contained in this IDS was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS; or

       (e)(2) The person signing below certifies that no item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing below after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 1.56(c) more than three months prior to filing this IDS.

**OR**

       (2) The fee set forth in 37 C.F.R. § 1.17(p).

       A check in the amount of \$180.00 is enclosed.

       37 C.F.R. § 1.97(d). Filed on or before payment of the issue fee.

       And, BOTH of the following:

       (1) one statement from 37 C.F.R. § 1.97(e);

       (e)(1) The person signing below certifies that each item of information contained in this IDS was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS; or

       (e)(2) The person signing below certifies that no item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing below after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 1.56(c) more than three months prior to filing this IDS.

**AND**

       (2) The fee set forth in 37 C.F.R. § 1.17(p).

       A check in the amount of \$180.00 is enclosed.

Accompanying this IDS is a Form PTO-1449 and a copy of each reference listed therein, EXCEPT references pursuant to one or more of the following sections of 37 C.F.R. § 1.98 (as indicated by an "X" to the left of the appropriate paragraph(s)):

\_\_\_\_\_ 37 C.F.R. § 1.98(c) as being cumulative (marked with an "\*" on the Form PTO-1449).

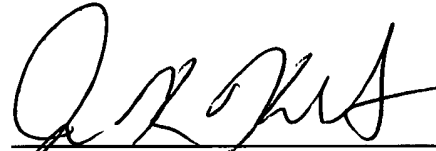
\_\_\_\_\_ 37 C.F.R. § 1.98(d) as being previously submitted in parent application  
\_\_\_\_\_/\_\_\_\_\_, to which the present application claims priority under 35  
U.S.C. § 120.

The Commissioner is hereby authorized to charge shortages or credit overpayments to Deposit Account No. 500393. A Fee Transmittal is enclosed in duplicate for fee processing purposes.

Respectfully submitted,

SCHWABE, WILLIAMSON & WYATT, P.C.

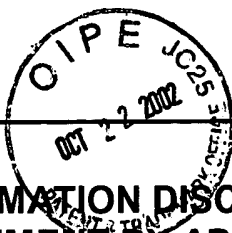
Dated: 10/16, 2002



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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

## Complete if Known

Application Number	09/870,959
Filing Date	May 30, 2001
First Named Inventor	Peter S. Banka
Group Art Unit	2152
Examiner Name	Not yet assigned
Attorney Docket Number	109887-130222

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## OTHER ART (INCLUDING TITLE, AUTHOR, DATE, PERTINENT PAGES, ETC.)

Exam. Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
	3	"Program for Exporting Transmission Control Protocol-Based Services through Firewalls," IBM Technical Disclosure Bulletin, IBM Corp., New York, US, vol. 40, no. 12, 1 December 1997, pgs. 161-162.
	4	INGHAM ET AL., "HPL-1999-50 - CORBA Transactions Through Firewalls," Hewlett Packard Technical Report, 'Online! URL: <a href="http://www.hpl.hp.com/techreports/1999/HPL-1999-50.html">http://www.hpl.hp.com/techreports/1999/HPL-1999-50.html</a> , retrieved on 2002-07-01!
	5	NORIFUSA, "Internet security: difficulties and solutions," International Journal of Medical Informatics, Elsevier Scientific Publishers, Shannon, IR, vol. 49, no. 1, March 1998, pgs. 69-74.
	6	SCHREINER, "CORBA Firewalls," ObjectSecurity Whitepaper, 'Online! 15 August 1999, URL: <a href="http://www.objectsecurity.com/whitepapers/corba/fw/main.html">http://www.objectsecurity.com/whitepapers/corba/fw/main.html</a> , retrieved on 2002-07-01!
	7	SRISURESH ET AL., "RFC 2663 - IP Network Address Translator (NAT) Terminology and Considerations," Request for Comments, 'Online! URL: <a href="http://www.ietf.org/rfc/rfc2663.txt">http://www.ietf.org/rfc/rfc2663.txt</a> , retrieved on 2002-07-01!
	8	SRISURESH ET AL., "RFC 2709 - Security Model with Tunnel-mode IPsec for NAT Domains," Request for Comments, 'Online! URL: <a href="http://www.ietf.org/rfc/rfc2709.txt">http://www.ietf.org/rfc/rfc2709.txt</a> , retrieved on 2002-07-01!

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